

2681

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

ROGER ROGARD, ET AL.

Application No.: 09/676,887

Filed: September 29, 2000

For: **DOWNLINK TRANSMISSION IN A  
WIRELESS DATA COMMUNICATION  
SYSTEM HAVING A BASE STATION  
WITH A SMART ANTENNA SYSTEM**

COPY OF PAPERS  
ORIGINALLY FILED

Art Group: 2681

Examiner: Not Yet Assigned

PC 9/14/02  
3120102

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

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Technology Center 2600

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO/SB/08. Copies of the references cited on PTO/SB/08 are enclosed herewith. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 CFR § 1.97(e)(1), it is hereby stated that each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.


Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

If any fees are required, please charge Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP


Date: February 22, 2002 \_\_\_\_\_

  
\_\_\_\_\_  
Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(503) 684-6200

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: February 22, 2002.

  
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Mary E. Warinner

02/22/02

Date



# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)

## Complete if Known

Application Number	09/676,887
Filing Date	September 29, 2000
First Named Inventor	Roger Rogard
Examiner Name	Not Yet Assigned
Group/Art Unit	2681
Attorney Docket No.	15685P031

## METHOD OF PAYMENT (check one)

- ☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of the application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES

Total Claims  =  X  =   
Independent Claims  =  X  =   
Multiple Dependent  =

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				

\*\*or number previously paid, if greater. For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920 *	112	920 *	Requesting publication of SIR prior to Examiner action	
113	1,840 *	113	1,840 *	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
SUBTOTAL (3)					(\$)

\* Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type)

Gregory D. Caldwell

Registration No.  
(Attorney/Agent)

39,926

Telephone

(503) 684-6200

Signature

Date

02/22/02

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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

1

of

2

**Complete if Known**

Application Number	09/676,887
Filing Date	September 29, 2000
First Named Inventor	Roger Rogard
Group Art Unit	2681
Examiner Name	Not Yet Assigned
Attorney Docket Number	15685P031

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

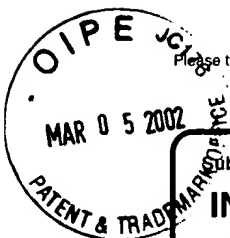
[illegible]

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Unique citation designation number. <sup>1</sup>See attached Kinds of U.S. Patent Documents. <sup>2</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>3</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>4</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>5</sup>Applicant is to place a check mark here if English language Translation is attached.

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<b>Substitute for form 1449A/PTO</b> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>		
				Application Number	09/676,887	
Sheet		2	of	2	Filing Date	September 29, 2000
					First Named Inventor	Roger Rogard
					Group Art Unit	2681
					Examiner Name	Not Yet Assigned
					Attorney Docket Number	15685P031

OTHER ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	1	Farsakh et al., "A REAL TIME DOWNLINK CHANNEL ALLOCATION SCHEME FOR AN SDMA MOBILE RADIO SYSTEM," IEEE International Symposium on Personal, Indoor and Mobile Radio Communications, Vol. 3, 10/18/96, pgs. 1215-1220.	
	2	Farsakh et al., "CHANNEL ALLOCATION AND DOWNLINK BEAMFORMING IN AN SDMA MOBILE RADIO SYSTEM," PIMRC '95, Wireless: Merging onto the Information Superhighway, 6th IEEE International Symposium on Toronto, Ont., Canada, 9/27-29/95, pgs. 687-691.	
	3	Gerlach et al., "BASE STATION TRANSMITTER ANTENNA ARRAYS WITH MOBILE TO BASE FEEDBACK," IEEE Asilomar Conference on Signals, Systems & Computers, 1993, pgs. 1432-1436.	

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Examiner Signature		Date Considered	
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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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